



New Jersey Department of Children and Families Policy Manual

Manual:	IAIU	Institutional Abuse Investigation Unit	Effective Date:
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Subchapter:	I	Institutional Abuse Investigation Unit	
Issuance:	200	Case Recording and Agency Forms	

Purpose, Structure, Process 10-21-2013

Purpose:

This issuance provides the policies and procedures relating to the Institutional Abuse Investigation Unit (IAIU). IAIU is a child protective service agency within the Department of Children and Families (DCF), dedicated solely to investigating allegations of child abuse/neglect in child care facilities, resource family care homes, and other out-of-home care settings.

Policy:

IAIU Investigators shall:

- A) Investigate reports of abuse and neglect of children in out-of-home facilities, resource family homes, and other out-of-home care settings. See [IAIU-I-A-1-400](#), Investigation Process.
 - Immediately take action necessary to secure the safety of children named in a report (i.e., child victims), and other children associated in the report or residing in the same out-of-home care setting under similar circumstances. Work with CP&P field staff to assure child safety.
 - Assess and document information obtained during the investigation. See [IAIU-I-A-1-200](#), IAIU Case Recording.
 - Formulate investigation findings and develop recommendations for monitoring and follow up on each Substantiated and each Established report (see [IAIU-I-A-1-600](#)), including recommending removal of the child and/or closure of homes, when appropriate. See [IAIU-I-A-1-700](#), Remedial Action, Corrective Action, and Monitoring.

- B) The State Central Registry (SCR), operated by the Department of Children and Families, shall screen incoming CPS-IAIU reports, and assign them to IAIU to investigate, in accordance with policy.
- C) SCR shall assign reports of allegations against DCF-operated programs and incidents in DCF Office of Education (OOE) facilities to the Office of the Public Defender Conflict Investigation Unit (PDCIU) for investigation rather than IAIU, to avoid a conflict of interest or the appearance of a conflict of interest. See CP&P policy [CP&P-II-C-1-300](#), Limiting Conflicts of Interest, and II B 1507, Appendices - Limiting Conflicts of Interest.

IAIU Structure

- D) The State of New Jersey is divided into four "Regions" for the purpose of permitting IAIU staff to conduct institutional abuse/neglect investigations. IAIU consists of a Central Administrative Office (commonly known as "Central Office") and four Regional Investigative Offices that report directly to that one, centralized managerial unit.

IAIU Regional Offices

- E) Each Regional Office shall have a Regional Supervisor, Assistant Regional Supervisors, and child protective service Investigators. In addition, each Regional Office shall have an Administrative Analyst, and clerical support staff. One member of the professional staff shall serve as the office's SCR Designee.
- F) The size of the staff allocated to each respective office shall be based on the volume of work and operational needs. Each of the four Regions shall be responsible for conducting business within several counties.
- G) Courtesy responses shall be conducted, when necessary, based on the location of a child victim in another Region's jurisdiction in times of emergency, as determined by SCR. Regional Offices may negotiate non-emergency response courtesy work, as needed. See [IAIU-I-A-1-300](#), Courtesy Investigations by IAIU

H) Regional Offices

IAIU Central Administrative Office

- I) The IAIU Central Administrative Office (i.e., IAIU "Central Office") shall consist of:
 - The Director of IAIU
 - Two (2) Supervisors of Investigations

- Administrative Analysts
 - The Corrective Action/Continuous Quality Improvement Unit, under a Corrective Action Coordinator
 - A Standards and Procedures Technician
 - Clerical support staff
- J) The DCF Assistant Commissioner of Performance, Management, and Accountability shall be IAIU's Executive Staff member, who provides supervision, oversight, and overall administrative responsibility for New Jersey's statewide IAIU operation.
- K) The Director of IAIU is IAIU's top administrator, and shall be responsible for:
- Supervising the overall operations of the IAIU Program on a statewide basis;
 - Staff hiring, promotions, and terminations;
 - Clarifying policy; developing and formulating new policy and procedures in concert with the DCF Office of Policy and Regulatory Development; and resolving problematic issues related to policy interpretation, application and principles;
 - Overseeing the operation of IAIU's Corrective Action/Continuous Quality improvement Unit;
 - Working with the Department of Children and Families' Public Information Officer in responding to media-sensitive situations;
 - Reviewing, approving, and signing finding determination notification letters, when IAIU's finding is "Substantiated" or "Established;" The Central Office Supervisor of Investigations can fulfill the function as determined by the Director.
 - Overseeing the expunction of IAIU files associated with Unfounded reports three (3) years after concluding such investigations. (For a comprehensive discussion of expunction (deletion) vs. retention of records, see [CP&P-III-E-2-100](#), Expunction of Records).
- L) The Central Office Supervisors of Investigations shall manage the day-to-day unit organization and operation by:
- - Directly supervising the Regional Supervisors, Administrative Analysts, and the IAIU Central Administrative Office clerical staff;

- Providing support, guidance, expertise, and direction in the handling of IAIU investigations, and assisting in finding determination decision-making, as necessary;
- Reviewing, approving, and signing finding determination notification letters, when IAIU's finding is "Substantiated" or "Established;" as determined by the Director.
- Reviewing investigations to assess IAIU case practice; and
- Assisting in the review of investigations to relieve high volume at the Regional Offices.

M) The Administrative Analyst shall be responsible for:

- Logging reports;
- Compiling statistical data;
- Maintaining tracking and retrieval systems, to monitor:
 - The status of current institutional abuse/neglect investigations,
 - Compliance with response time frames,
 - Making timely finding determinations and issuing finding determination notifications.
- The Corrective Action/CQI Coordinator shall be responsible for:
- Receiving, reviewing, and monitoring remedial and corrective action plans submitted by facilities, contracted agencies (for contracted foster homes), and CP&P Local Offices (for CP&P resource family homes);
- Auditing IAIU investigative files for compliance with policy and best practice;
- Making recommendations for program improvements (through serving on various committees and work groups, working with system partners, etc.);
- Assessing policies and proposed policies; assuring proper implementation/integration into practice;
- Staff training; assessing training needs within IAIU;
- Responding to external inquiries.

See [IAIU-I-A-1-700](#), Remedial Action, Corrective Action, and Monitoring Guidelines

- N) The IAIU Manual, at Volume III, Section E, Institutional Abuse and Neglect, shall establish policies and procedures specific to the Institutional Abuse Investigation Unit. For all other general policies and procedures pertaining to IAIU operations, refer to the four-volume on-line DCF CP&P Policy Manual.
- O) The Division of Child Protection and Permanency shall be New Jersey's lead child protection agency, established by State statute. IAIU complies with CP&P policies and procedures, and is established pursuant to the same overall State statutes and mandates, Title 9 and Title 30.
- P) CP&P policy and IAIU policy shall cross reference each other throughout the CP&P four-volume on-line policy/procedures manual, including the IAIU Manual, [IAIU Policy Manual](#).
- Q) DCF, IAIU, and CP&P administrative staff shall work cooperatively toward developing and adopting policy to address IAIU staffing, needs, best practice, and operations.

IAIU Case Recording

Screening Summary Coded CPS-IAIU 7-31-2008

When screening calls, SCR Screeners gather, record, and document essential information in NJ SPIRIT (NJS) at the Intake Window, to produce a printable DCF [Form 1-1](#), the Screening Summary. When documenting an institutional abuse/neglect report (i.e., a CPS-IAIU Report), the SCR Screener forwards the completed DCF [Form 1-1](#) to the respective IAIU Regional Office SCR Designee, for assignment to an IAIU Investigator.

IAIU investigations are assigned to CP&P SPRU Workers (emergency response staff), when SCR accepts a report after hours. An on-call IAIU Supervisor guides SPRU Worker intervention. The CPS-IAIU report is assigned to an IAIU Investigator the next business day, who follows up on work started by the SPRU Worker, as necessary, to complete the investigation. See [IAIU-I-A-1-500](#), After Hours Response.

IAIU Case Recording 7-31-2008

IAIU Investigators record individual interviews in NJ SPIRIT. The Investigator documents his or her work within seven (7) calendar days.

Each entry is reviewed by the Supervisor within seven (7) calendar days, and approved electronically in NJS.

IAIU Investigators complete DCF [Form 2-1](#), Investigation Summary, in NJS, to document the overall investigation process and the investigation finding determination.

Upon completing the CPS-IAIU investigation, the Investigator prepares a finding determination notification letter to advise the alleged perpetrator, facility or CP&P Administrator, and the child's parent or guardian of the results of the investigation. (For a list of IAIU finding determination notification letters, see [IAIU-I-A-1-600](#), Documentation of Investigation Findings, and Appeals.)

When appropriate, IAIU completes a Critical Incident Report, CP&P [Form 21-10](#). The Investigator may be contacted by the DCF Office of Evaluation, Support, and Special Investigations (ESSI) to discuss a child death under investigation. See [CP&P-IX-D-1-100](#) and [CP&P-VIII-A-1-100](#).

Agency Forms 7-31-2008

IAIU uses CP&P forms in practice to the greatest extent possible, to avoid duplication in the two DCF programs. In addition, IAIU has developed and implemented a series of forms dedicated solely to its unique work.

IAIU Paper Case File 4-1-2013

- The original paper file for a Substantiated incident or an Established incident is kept in IAIU Central Office, with a copy retained at the Regional Office.
- The investigation file (paper original) is located in the IAIU Regional Office, if the incident was Not Established or Unfounded, with a copy forwarded to IAIU Central Office.
- The electronic case file is maintained in the NJ SPIRIT application, the system of record.

See [CP&P-IV-B-4-100](#) for retention/expunction of "Unfounded" abuse/neglect investigation reports regarding foster, relative care, or family friend care, and [CP&P-IV-C-10-200](#) for adoption home reports.

See appendices, [IAIU-I-A-1-2000](#), IAIU File Structure Protocol, for a description of the component parts and organization of the IAIU case file.